



## Annual Audit Compliance Report Form

*Environmental Protection Act 1986, Part V*

Once completed, please submit this form either via email to [info-der@dwer.wa.gov.au](mailto:info-der@dwer.wa.gov.au), or to the below postal address:

Department of Water and Environmental Regulation  
Locked Bag 33 Cloisters Square  
PERTH WA 6850

Section A – Licence Details			
Licence number:	L9036/2017/1	Licence file number:	DER2017/000279
Licence holder:	Altura Lithium Operations Pty Ltd		
Trading as:	Pilbara Minerals Limited, since January 2021 (previously Altura Mining Limited)		
ACN:	095 384 491		
Registered address:	Level 2, 88 Colin St., West Perth, WA 6005		
Reporting period:	01/01/2020 to 31/12/2020		

Section B – Statement of Compliance with Licence Conditions
Did you comply with all of your licence conditions during the reporting period? (please tick the appropriate box)
<input type="checkbox"/> Yes – please complete: <ul style="list-style-type: none"><li>• section C;</li><li>• section D if required; and</li><li>• sign the declaration in Section F.</li></ul>
<input checked="" type="checkbox"/> No – please complete: <ul style="list-style-type: none"><li>• section C;</li><li>• section D if required;</li><li>• section E; and</li><li>• sign the declaration at Section F.</li></ul>

Section C – Statement of Actual Production	
Provide the actual production quantity for this reporting period. Supporting documentation is to be attached.	
Prescribed Premises Category	Actual Production Quantity
Category 5	1,214,393 tonnes

Section D – Statement of Actual Part 2 Waste Discharge Quantity	
Provide the actual Part 2 waste discharge quantity for this reporting period. Supporting documentation is to be attached.	
Prescribed Premises Category	Actual Part 2 Waste Discharge Quantity
Category 5	559,228 tonnes

Section E – Details of Non-Compliance with Licence Condition			
Please use a separate page for each condition with which the licence holder was non-compliant at a time during the reporting period.			
Condition no:	8(c)	Date(s) of non-compliance:	2020
Details of non-compliance:			
<p>The <u>auditable books</u> required by Condition 8 are not complete, as some records of the Environmental Monitoring undertaken by the project previous owner (<i>Altura Mining Limited</i>) in accordance with Condition 2 to 7 of the Operating Licence, were not made available to the new owner <i>Pilbara Minerals Limited</i> (PLS) after the acquisition of <i>Altura Lithium Operation Pty. Ltd.</i> (ALO) in January 2021.</p>			
<p>What was the actual (or suspected) environmental impact of the non-compliance?</p> <p><b>NOTE</b> – please attach maps or diagrams to provide insight into the precise location of where the non-compliance took place.</p>			
<p>No actual or suspected environmental impact.</p> <p>The available data do not show any significant change from previous years, nor any trend of concern. The project previous owner <i>Altura Mining Limited</i> declared at the time of the acquisition by PLS that ALO was in full compliance of its regulatory requirements, including DWER licences and approvals.</p>			
Cause (or suspected cause) of non-compliance:			
<p>The suspected cause was an inadequate handling of records by <i>Altura Mining Limited</i> during the sale and transfer process of ALO to its new owner PLS, after entering receivership the 26<sup>th</sup> October 2020.</p> <p>PLS acquired 100% of ALO shares from the receivers in January 2021, becoming the sole owner of ALO and its Pilgangoora Lithium Project.</p>			
Action taken to mitigate any adverse effects of non-compliance and prevent recurrence of the non-compliance:			
<p>Since the acquisition of ALO, its new owner PLS transferred all the project records to its own server and document management system.</p> <p>This will ensure that in the future, those auditable books include all the required records and are easily accessible as per Condition 8 requirements.</p>			
Was this non-compliance previously reported to DWER?			
<input checked="" type="checkbox"/> Yes, and			
<input checked="" type="checkbox"/> Reported to DWER verbally		Date: 07/01/2021 - meeting at DWER offices Date: 18/03/2021 - phone call with DWER Team Leader	
<input type="checkbox"/> Reported to DWER in writing		Date:	

Section E – Details of Non-Compliance with Licence Condition			
Please use a separate page for each condition with which the licence holder was non-compliant at a time during the reporting period.			
Condition no:	11(b)	Date(s) of non-compliance:	2020
Details of non-compliance:			
Not all the monitoring results required by Condition 7 are included in this AER, as some of the monitoring records were not made available to the project new owner PLS after the acquisition of ALO in January 2021.			
What was the actual (or suspected) environmental impact of the non-compliance? <b>NOTE</b> – please attach maps or diagrams to provide insight into the precise location of where the non-compliance took place.			
No actual or suspected environmental impact.  The available data do not show any significant change from previous years, nor any trend of concern. The project previous owner <i>Altura Mining Limited</i> declared at the time of the acquisition by <i>PLS</i> that ALO was in full compliance of its regulatory requirements, including DWER licences and approvals.			
Cause (or suspected cause) of non-compliance:			
The suspected cause was an inadequate handling of records by Altura Mining Ltd during the sale and transfer process of ALO to its new owner PLS, after entering receivership the 26 <sup>th</sup> October 2020.  PLS acquired 100% of ALO shares from the receivers in January 2021, becoming the sole owner of ALO and its Pilgangoora Lithium Project.			
Action taken to mitigate any adverse effects of non-compliance and prevent recurrence of the non-compliance:			
PLS has reviewed and updated the project environmental monitoring schedule to ensure that all the requirements of Condition 7 are met. PLS also transferred all the project records to its own server and document management system. This will allow those records to be available to ensure completeness of future AERs.			
Was this non-compliance previously reported to DWER?			
<input checked="" type="checkbox"/> Yes, and			
<input checked="" type="checkbox"/> Reported to DWER verbally		Date: 18/03/2021 - phone call with DWER Team Leader	
<input type="checkbox"/> Reported to DWER in writing		Date:	

**Section F – Declaration**

<p>I / We declare that the information in this Annual Audit Compliance Report is true and correct and is not false or misleading in a material particular<sup>1</sup>.</p> <p>I / We consent to the Annual Audit Compliance Report being published on the Department of Water and Environmental Regulation's (DWER) website.</p>				
Signature <sup>2</sup> :		Signature:		
Name: (printed)		Name: (printed)		
Position:		Position:		
Date:		30 <sup>th</sup> March 2021	Date:	
Seal (if signing under seal):				

<sup>1</sup> It is an offence under section 112 of the *Environmental Protection Act 1986* for a person to give information on this form that to their knowledge is false or misleading in a material particular.

<sup>2</sup> AACRs can only be signed by the licence holder or an authorised person with the legal authority to sign on behalf of the licence holder.